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ABSTRACT

A survey of 481 independent colleges and universities in the United States was conducted to gather data on institutionally provided aid from 1970-71 through 1987-88. The study focused on financial assistance to undergraduates only and excludes data from independent 2-year colleges. Findings are organized into the following categories: levels of institutionally provided student financial assistance, forms of student financial assistance, impact on institutional budgets, and sources of revenue for student aid. The findings revealed that institutionally provided aid to undergraduates at independent colleges and universities increased by 488% between 1970-71 and 1987-88 (102% after adjusting for inflation); the average amount of institutional aid provided by each independent college and university was $2.832 million in 1987-88; 59% of all undergraduates received some form of institutionally provided aid in 1987-88. Appendices include tables by type of institution, description of the research methodology, a list of institutional respondents, and the questionnaire. (JDD)

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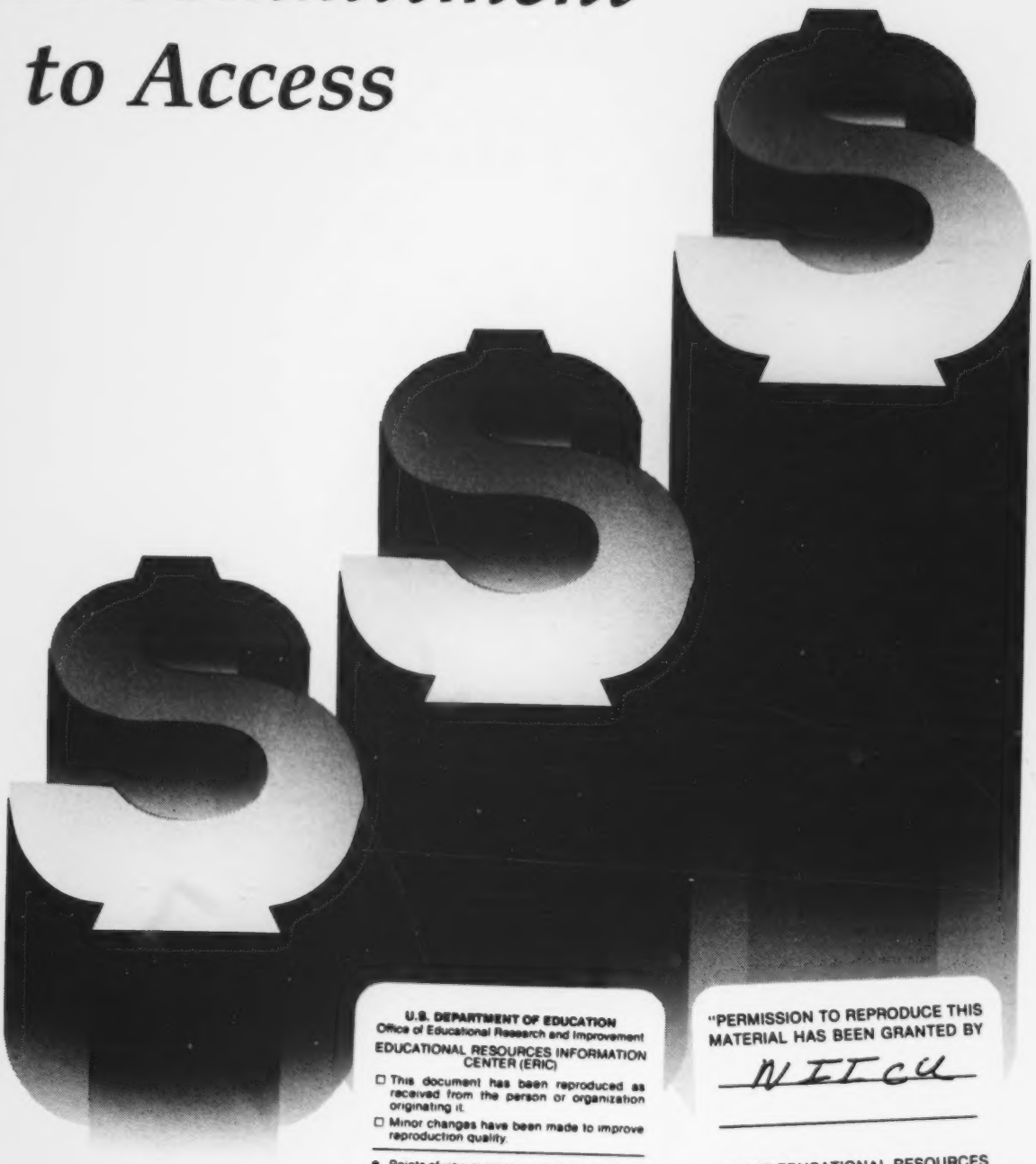

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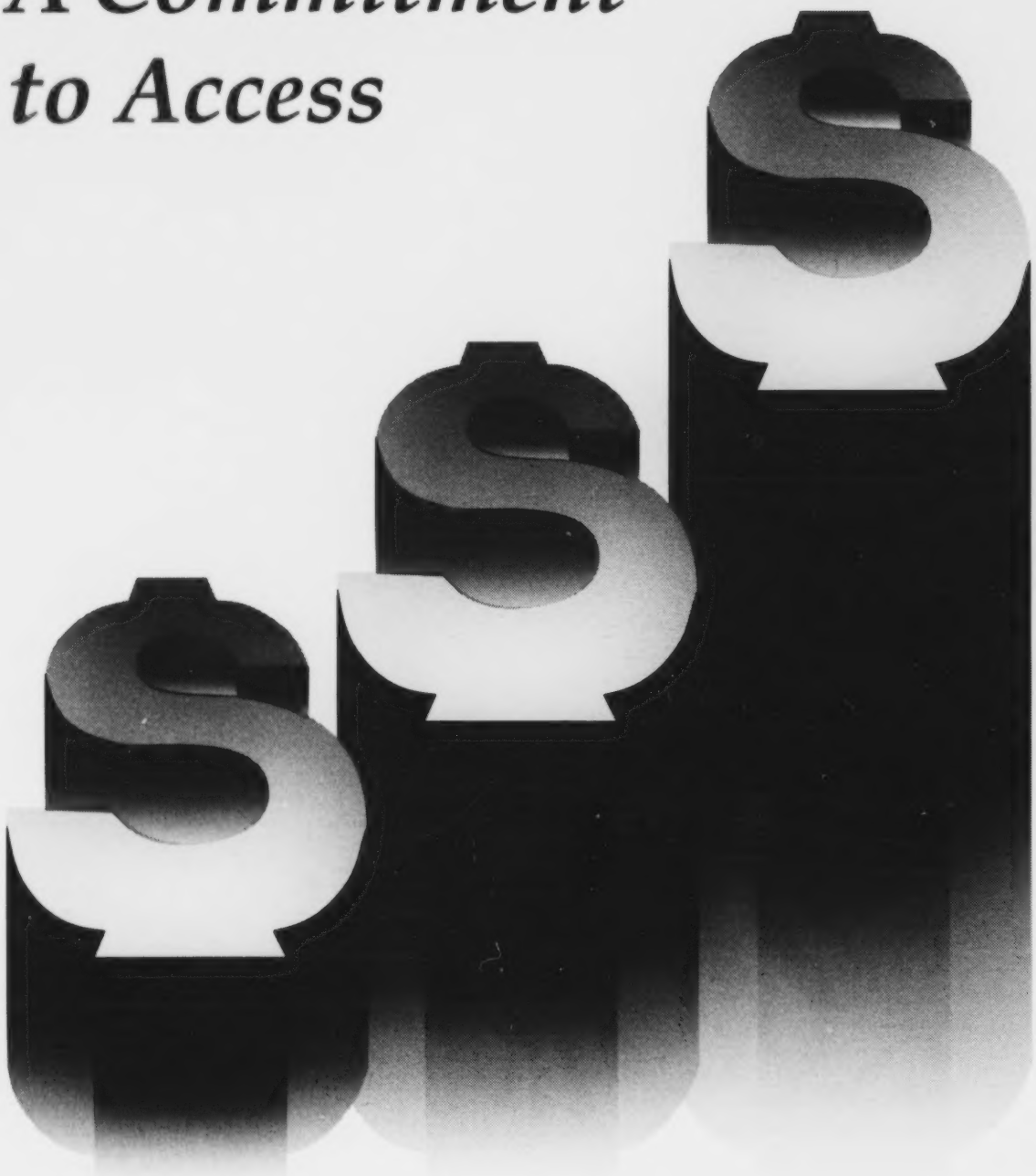

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Executive Summary

• In 1987-88, independent colleges and universities provided $2.335 billion from institutional resources in the form of grants, work-study programs, and loans to undergraduate students. It is estimated that this figure reached $2.626 billion in 1988-89. When combined with the financial aid provided to graduate students from institutional resources, the total climbs to more than $3.5 billion.

• Institutionally provided aid to undergraduates at independent colleges and universities increased by 488 percent between 1970-71 and 1987-88, (102 percent after adjusting for inflation). More than three-quarters of this growth has occurred since 1980-81.

• In 1987-88, 85 percent of the aid awarded to undergraduates by independent colleges and universities was in the form of grants and scholarships—a total of $1.994 billion.

• Independent colleges and universities now provide more grant assistance to undergraduates than all federal grants combined to undergraduates at independent institutions. Between 1975-76 and 1987-88, institutionally provided grants more than doubled (up by 105 percent) in constant 1987-88 dollars. Federal grants to undergraduates at independent colleges and universities decreased by 68 percent in constant dollars during the same period of time.

• The average amount of institutional aid provided by each independent college and university to its undergraduates was $2.832 million in 1987-88. It is estimated that this level rose to $3.077 million in 1988-89.

• On average, 59 percent of all undergraduates attending independent colleges and universities received some form of institutionally provided aid in 1987-88, up from 44 percent in 1970-71.

• Independent colleges and universities are devoting increasing proportions of undergraduate educational and general expenditures to student financial assistance, with most of the increase occurring in the 1980s. In the decade between 1970-71 and 1980-81, the proportion of total educational and general expenditures dedicated to undergraduate aid increased from 9 percent to 10 percent. But between 1980-81 and 1987-88, the proportion grew from 10 percent to 14 percent.

• The proportion of need-based grants from restricted, endowed, or funded sources decreased from 35 percent of the total in 1970-71 to 30 percent in 1987-88. The proportion of need-based grants from other sources (generally tuition and some income from auxiliary enterprises) increased from 65 percent of the total in 1970-71 to 70 percent in 1987-88.

INTRODUCTION

Independent colleges and universities have provided financial assistance to students since the founding of the first independent institution nearly four centuries ago. In 1643 Harvard College received an endowed gift of 100 pounds, with the stipulation that the income be used to help a needy student. This marked the establishment of the first institutional scholarship fund in America.[1]

Throughout the ensuing three centuries, scholarships provided directly by colleges and universities were the principal source of student financial assistance. State and federal government funding for student financial assistance is a fairly recent phenomenon. Only three states had financial aid programs in place in 1954. Through the first half of the twentieth century, the federal government's role in providing aid to students in higher education was restricted to addressing specific national problems—for example, the New Deal programs that enabled students to continue in college and therefore kept them off the relief rolls, the GI Bill of 1944, and the National Defense Education Act of 1958 following the launch of Sputnik. It was not until the passage of the Higher Education Act of 1965 that the federal government formally recognized and supported the need for equal access to higher education for all Americans, regardless of their economic status.[2]

In recent years, independent colleges and universities have dramatically expanded their historic commitment to providing access to needy and talented students through increased institutional expenditures for financial assistance. Although this has been known anecdotally, there was no systematic evidence of trends in institutionally provided aid over a significant period of time. NIICU has attempted to fill this gap by surveying the nation's independent colleges and universities and requesting data on institutionally provided aid from 1970-71 through 1987-88.

Despite the difficulty of searching records that may have preceded computer-assisted financial aid record-keeping, a representative group of independent colleges and universities nationwide responded to the survey. Because trends do not vary considerably by type of institution, the focus of this report is on all types of institutions combined. However, a section of tables by type of institution is included in Appendix A. Because of a low response rate from independent two-year colleges, data on these institutions are not included in the following discussion. Appendix B contains a complete treatment of research methods used in this survey. Finally, this study focuses on financial assistance to undergraduates only, and does not include any information on trends for the approximately $1 billion currently awarded by independent colleges and universities to graduate and professional students.

FINDINGS

Levels of Institutionally Provided Student Financial Assistance

In 1987-88, independent colleges and universities provided $2.335 billion from institutional resources in the form of grants, work-study programs, and loans to undergraduate students. The estimated total for 1988-89 is $2.626 billion. (See Table 1.)

Between 1970-71 and 1987-88, institutionally provided aid at independent colleges and universities increased by 488 percent (102 percent after adjusting for inflation). Much of this increase has occurred in the 1980s. Between 1970-71 and 1980-81, institutionally provided aid increased by 8 percent — from $1.158 billion to $1.251 billion — after adjusting for inflation. But between 1980-81 and 1987-88, institutionally provided aid has increased by a dramatic 87 percent in constant 1987-88 dollars.

The average amount of institutionally provided aid at each independent college and university increased from $1.465 million in 1970-71 to $2.832 million in 1987-88 (in constant 1987-88 dollars). It is estimated that this level reached $3.077 million in 1988-89. Between 1970-71 and 1980-81, the average level of aid provided by each institution increased modestly by 5 percent. However, between 1980-81 and 1987-88, the increase was 84 percent. (See Table 2.)

On average, 59 percent of all undergraduates at independent colleges and universities received some form of institutionally provided aid in 1987-88, up from 44 percent in 1970-71. (See Figure 1.)

Forms of Student Financial Assistance Provided by Independent Colleges and Universities

Independent colleges and universities provide a variety of financial assistance programs, including grants for needy and/or talented stu-

TABLE 1

Undergraduate Student Financial Assistance Provided Directly by Independent Colleges and Universities

	Current Dollars *(Millions)*	Constant 1987-88 Dollars *(Millions)*
1970-71	$397	$1,158
1975-76	584	1,219
1980-81	936	1,251
1983-84	1,465	1,667
1985-86	1,837	1,955
1987-88	2,335	2,335
1988-89 (est.)	$2,626	–
Percentage Increase		
1970-71 to 1980-81	136%	8%
1980-81 to 1987-88	150%	87%
1970-71 to 1987-88	488%	102%

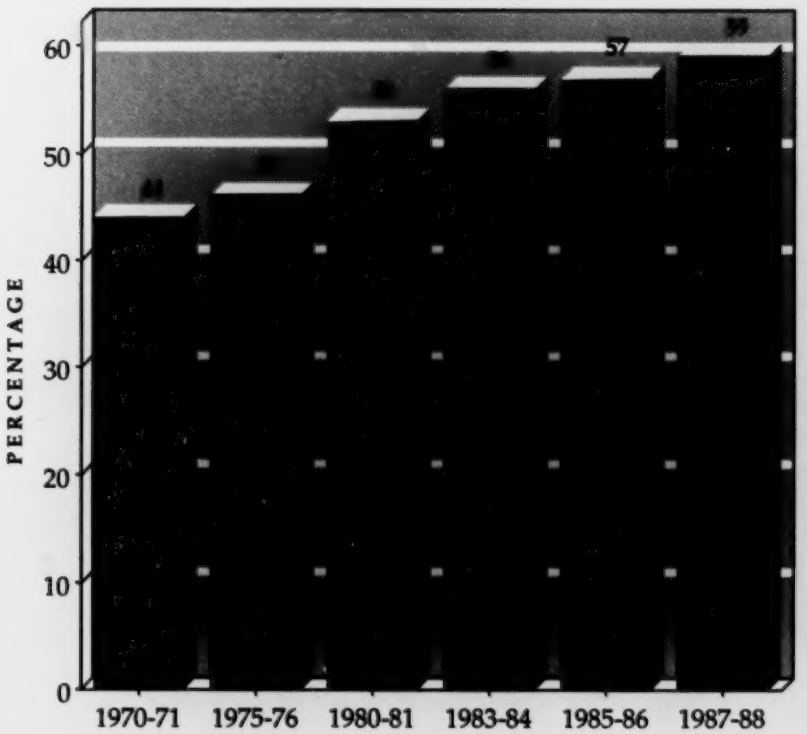
TABLE 2

Average Levels of Undergraduate Student Financial Assistance Provided Directly by Independent Colleges and Universities

	Current Dollars *(Thousands)*	Constant 1987-88 Dollars *(Thousands)*
1970-71	502	1,465
1975-76	755	1,575
1980-81	1,148	1,536
1983-84	1,786	2,032
1985-86	2,244	2,389
1987-88	2,832	2,832
1988-89 (est.)	$3,077	–
Percentage Increase		
1970-71 to 1980-81	129%	5%
1980-81 to 1987-88	147%	84%
1970-71 to 1987-88	464%	93%

FIGURE 1

Percentage of Undergraduates at Independent Colleges and Universities Receiving Institutionally Provided Student Financial Assistance, 1970-71 to 1987-88



Note: Enrollment is based on headcount.

TABLE 3

Distribution of Forms of Undergraduate Student Financial Assistance Provided Directly by Independent Colleges and Universities in Constant 1987-88 Dollars *(Thousands)*

	1970-71		1975-76		1980-81	
	Amount	% of Total	Amount	% of Total	Amount	% of Total
Grants/ Scholarships	$927,263	80%	$970,985	80%	$1,015,469	81%
Work	154,941	13	175,354	14	160,640	13
Loans	71,445	6	68,051	5	65,014	5
Other Aid	5,580	1	4,892	1	10,311	1
Total	$1,158,229	100%	$1,219,282	100%	$1,251,434	100%

	1983-84		1985-86		1987-88	
	Amount	% of Total	Amount	% of Total	Amount	% of Total
Grants/ Scholarships	$1,386,364	83%	$1,637,879	84%	$1,993,979	85%
Work	171,114	10	194,579	10	200,918	9
Loans	91,209	6	105,763	5	120,858	5
Other Aid	18,082	1	16,992	1	19,570	1
Total	$1,666,769	100%	$1,955,213	100%	$2,335,325	100%

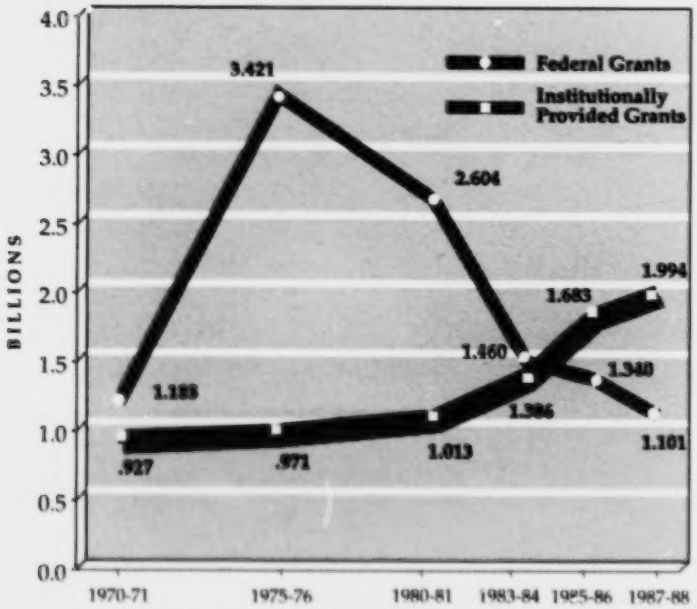
dents, work-study programs, and loan programs. However, the largest proportion of aid awarded is in the form of grants and scholarships. In 1987-88, grants amounted to $1.994 billion or 85 percent of total institutionally provided aid. This proportion has increased from its 1970-71 level of 80 percent of the total. (See Table 3.)

At the same time that independent colleges and universities were increasing their commitment to providing aid in the form of grants and scholarships, the federal government was decreasing the level of student financial assistance in the form of grants to undergraduates at independent colleges and universities.

Adjusted for inflation (constant 1987-88 dollars), federal grant assistance to undergraduates at independent institutions grew between 1970-71 and 1975-76, from $1.185 billion to $3.421 billion, and then began to decline dramatically through 1987-88 when it reached $1.101 billion, an amount lower than what was awarded in 1970-71. Independent colleges and universities, on the other hand, have been steadily increasing the amount of student financial assistance in the form of grants and in 1983-84 surpassed the federal government in the level of grants awarded to undergraduates. In 1987-88, independent colleges and universities awarded 81 percent more grant assistance to undergraduates than the

FIGURE 2

Federal and Institutionally Provided Grants for Undergraduate Students in Independent Colleges and Universities, in Constant 1987-88 Dollars (Billions)



Sources: Data on institutionally provided grants are from NIICU survey. Data on federal grants are from the U.S. Department of Education and NIICU estimates.

federal government provided to undergraduates in independent higher education. (See Figure 2.)

Although institutions were asked to distinguish between aid based on need and aid based on merit (or some criterion other than financial need), many institutions reported difficulty in making this distinction. Some institutions reported that aid may be classified as merit-based but distributed according to financial need. Therefore, these figures could be inflated or deflated; caution should be used in relying too heavily on them.

Overall, two-thirds (69 percent) of institutionally provided aid was need-based in 1987-88. In 1970-71, the proportion was 73 percent. (See Table 4.)

On average, the proportion of all undergraduate students receiving some form of institutionally provided need-based aid increased from 33 percent in 1970-

TABLE 4

Distribution of Need-Based and Non-Need-Based/Merit Undergraduate Student Financial Assistance Provided Directly by Independent Colleges and Universities

	Percentage of Total					
	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	78%	75%	73%	72%	75%	71%
Non-Need-Based/Merit	15	16	19	20	19	23
Other	7	9	8	8	6	6
Work-Study						
Need-Based	34%	37%	45%	48%	48%	47%
Non-Need-Based/Merit	57	53	42	41	42	43
Other	9	10	13	11	10	10
Loans						
Need-Based	99%	95%	81%	80%	70%	73%
Non-Need-Based/Merit	–	4	11	11	17	15
Other	1	1	8	9	13	12
Total						
Need-Based	73%	71%	70%	70%	72%	69%
Non-Need-Based/Merit	20	21	21	22	21	24
Other	7	8	9	8	7	7

FIGURE 3

Institutionally Provided Student Financial Aid as a Proportion of Educational and General Expenditures for Undergraduates at Independent Colleges and Universities

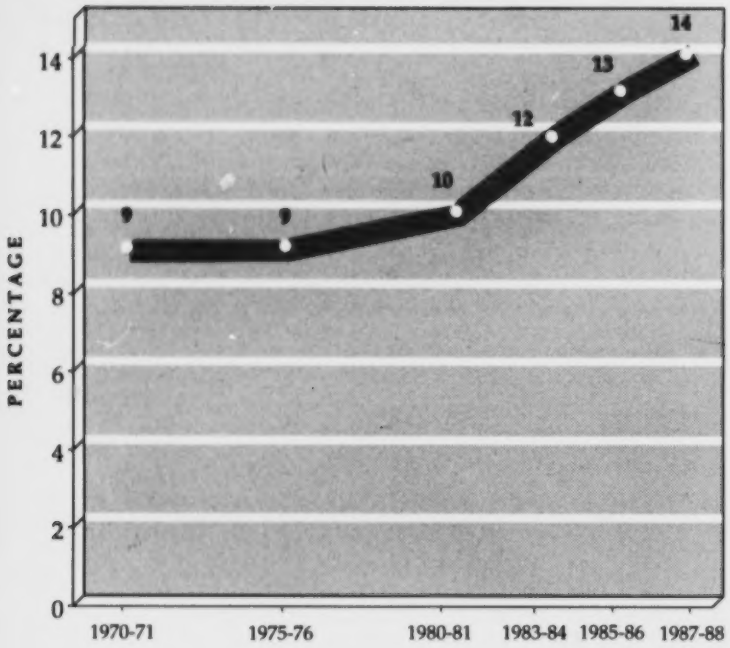
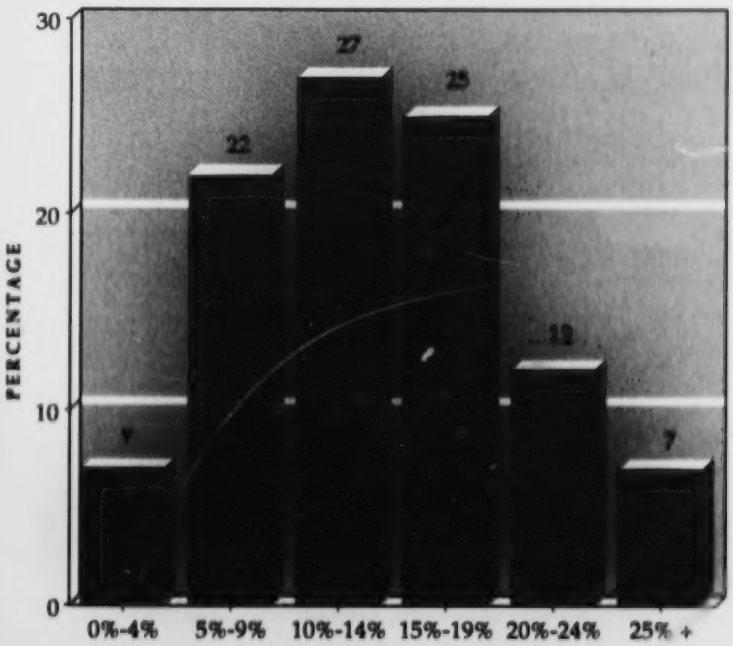


FIGURE 4

Distribution of Independent Colleges and Universities by the Proportion of Institutional Aid Provided from Educational and General Expenditures



71 to 45 percent in 1987-88. The proportion receiving aid not based on need increased from 10 percent to 21 percent over the same period of time. These figures include students who may have been receiving both forms of financial aid.

Impact on Institutional Budgets

Independent colleges and universities are devoting increasing proportions of undergraduate educational and general expenditures to student financial assistance, with most of the increase coming in the 1980s. In the decade between 1970-71 and 1980-81, the proportion of total educational and general expenditures dedicated to undergraduate aid increased by only one percentage point — from 9 percent to 10 percent. But between 1980-81 and 1987-88, the proportion of total educational and general expenditures going toward institutionally provided aid increased from 10 percent to 14 percent. (See Figure 3.)

Some individual colleges and universities are far above the average in the proportion of their total educational and general expenditures budget that is allocated for institutionally provided undergraduate student financial assistance. For example, approximately one-fifth of all independent colleges and universities responding to the survey reported spending more than 20 percent of their educational and general budgets on undergraduate student financial aid. (See Figure 4.) This level of spending for student aid creates a dilemma in institutional priorities, as the college attempts to improve teaching and research facilities, increase faculty salaries, begin new programs, and focus on other areas intended to enhance the quality of an institution while continuing to serve a diverse body of students.

Sources of Revenue for Institutionally Provided Student Aid

Not all student financial assistance follows the example of that first endowed gift to Harvard College in 1643. Indeed, for all types of independent institutions combined, the proportion of need-based grants from restricted, endowed, annual, or funded sources was lower in 1987-88 (30 percent) than in 1970-71 (35 percent), and lower than its peak in 1975-76 (37 percent).

What has increased is the proportion of aid from other sources of revenue, principally from tuition. This source of revenue for student financial assistance dates back at least to the 1800s[3]. However, in recent years, it has become a much more significant factor in the ability of many independent colleges and universities to direct financial assistance to needy students. Between 1970-71 and 1987-88, the proportion of need-based grants from tuition sources grew from 65 to 70 percent of the total — with most of the increase occurring in the 1980s. (See Figure 5.)

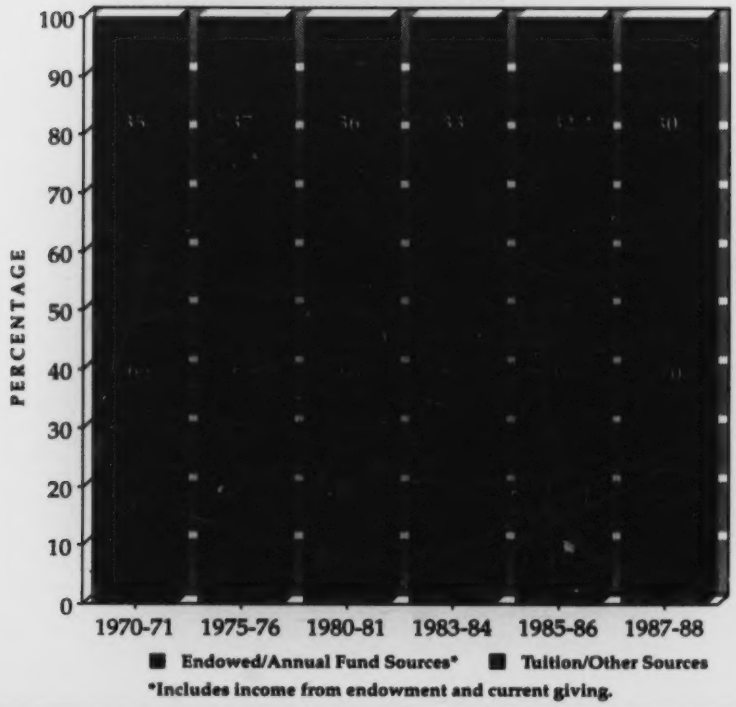
Concluding Remarks

The trends outlined in this report are clear evidence of independent higher education's commitment to providing financial assistance to deserving undergraduate students. This commitment stems from a long history of providing both access and choice for students to a college or university that best suits their individual educational goals and aspirations. The vast majority of institutionally provided funds are grants and are based on students' financial need.

However, there are disturbing trends. How long can independent colleges and universities increase aid from tuition sources without jeopardizing their own financial health and commitments to other areas of need within their institutions? With the diminishing level of federal grant assistance to undergraduates, especially since 1980-81, when will the federal government assume a greater role in the partnership to help students obtain a college education? The federal government's commitment to providing student financial assistance, especially in the form of grants, must be strengthened if low-income and middle-income students are going to be allowed the choice of an education best suited for them. Independent colleges and universities cannot do it alone.

FIGURE 5

Sources of Revenue for Institutionally Provided Need-Based Grants to Undergraduates at Independent Colleges and Universities



ENDNOTES

1. John Brademas, Foreword to *Handbook of Student Financial Assistance*, edited by Robert H. Fenske, Robert P. Huff and Associates (San Francisco: Jossey-Bass Publishers, 1983), ix.
2. Ibid., 6-8.
3. Ibid., 7-8.

APPENDIX A: *Tables by Institutional Type*

TABLE A-1

Trends in Undergraduate Student Financial Assistance Provided Directly by Independent Research and Doctorate-Granting Universities 1970-71 to 1987-88 Current Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$97,610	$145,794	$217,618	$339,296	$475,392	$555,908
Non-Need-Based/Merit	6,400	14,445	37,086	61,659	52,491	100,669
Other	13,692	20,959	28,834	38,440	33,022	49,336
Total	$117,702	$181,198	$283,538	$439,395	$560,905	$705,913
Work-Study						
Need-Based	$1,926	$5,497	$10,805	$14,686	$19,868	$21,641
Non-Need-Based/Merit	5,204	8,346	8,090	11,947	18,838	22,783
Other	4,293	6,653	10,050	10,923	11,729	11,008
Total	$11,423	$20,496	$28,945	$37,556	$50,435	$55,432
Loans						
Need-Based	$7,726	$13,663	$11,362	$12,128	$14,549	$16,058
Non-Need-Based/Merit	0	0	68	853	3,819	6,293
Other	0	0	2,481	4,968	10,000	10,613
Total	$7,726	$13,663	$13,911	$17,949	$28,368	$32,964
Other	$1,870	$1,397	$2,217	$3,221	$3,382	$5,229
Total	**$138,721**	**$216,754**	**$328,611**	**$498,121**	**$643,090**	**$799,538**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+122.9%	+155.5%	+470.1%
Non-Need-Based/Merit	+479.5	+171.4	+1,472.9
Other	+110.6	+71.1	+260.3
Total	+140.9	+149.0	+499.7
Work-Study			
Need-Based	+461.0%	+100.3%	+1,023.6%
Non-Need-Based/Merit	+55.5	+181.6	+337.8
Other	+134.1	+9.5	+156.4
Total	+153.4	+91.5	+385.3
Loans			
Need-Based	+47.1%	+41.3%	+107.8%
Non-Need-Based/Merit	–	+9,154.4	–
Other	–	+327.8.0	–
Total	+80.1	+137.0	+326.7
Other	+18.6%	+135.9%	+180.2%
Total	**+136.9%**	**+143.3%**	**+476.4%**

TABLE A-2

Trends in Undergraduate Student Financial Assistance Provided Directly by Independent Research and Doctorate-Granting Universities
1970-71 to 1987-88
Constant 1987-88 Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$284,623	$304,389	$291,108	$386,119	$506,008	$555,908
Non-Need-Based/Merit	18,662	30,159	49,611	70,168	55,872	100,669
Other	39,926	43,759	38,572	43,745	35,149	49,336
Total	$343,211	$378,307	$379,291	$500,032	$597,029	$705,913
Work-Study						
Need-Based	$5,618	$11,478	$14,455	$16,713	$21,148	$21,641
Non-Need-Based/Merit	15,177	17,425	10,823	13,596	20,052	22,783
Other	12,518	13,891	13,444	12,431	12,485	11,008
Total	$33,313	$42,794	$38,722	$42,740	$53,685	$55,432
Loans						
Need-Based	$22,531	$28,526	$15,200	$13,802	$15,486	$16,058
Non-Need-Based/Merit	0	0	91	971	4,065	6,293
Other	0	0	3,320	5,654	10,645	10,613
Total	$22,531	$28,526	$18,611	$20,427	$30,196	$32,964
Other	$5,453	$2,917	$2,967	$3,666	$3,600	$5,229
Total	**$404,508**	**$452,544**	**$439,592**	**$566,865**	**$684,510**	**$799,538**

Percentage Change

	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+2.3%	+91.0%	+95.3%
Non-Need-Based/Merit	165.8	+102.9	+439.4
Other	-3.4	+27.9	+23.6
Total	+10.5	+86.1	+105.7
Work-Study			
Need-Based	+157.3%	+49.7%	+285.2%
Non-Need-Based/Merit	-28.7	+110.5	+50.1
Other	+7.4	-18.1	-12.1
Total	+16.2	+43.2	+66.4
Loans			
Need-Based	-32.5%	+5.6%	-28.7%
Non-Need-Based/Merit	–	+6,815.3	–
Other	–	+219.7	–
Total	-17.4	+77.1	+46.3
Other	-45.6%	+76.2%	-4.1%
Total	**+8.7%**	**+81.9%**	**+97.7%**

TABLE A-3

Average Levels of Undergraduate Student Financial Assistance Provided Directly by Independent Research and Doctorate-Granting Universities

	Current Dollars *(Thousands)*	Constant 1987-88 Dollars *(Thousands)*
1970-71	$1,756	$5,120
1975-76	2,744	5,728
1980-81	4,159	5,564
1983-84	6,306	7,176
1985-86	8,141	8,665
1987-88	10,121	10,121
Percentage Increase		
1970-71 to 1980-81	137%	9%
1980-81 to 1987-88	143%	82%
1970-71 to 1987-88	476%	98%

TABLE A-4

Characteristics of Institutionally Provided Student Financial Assistance at Independent Research and Doctorate-Granting Universities

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Percentage of Undergraduates (Headcount) Receiving Institutionally Provided Student Financial Assistance	40%	39%	50%	48%	48%	47%
Institutionally Provided Student Financial Aid as a Proportion of Undergraduate Education and General Expenditures	8%	11%	12%	12%	13%	14%
Sources of Revenue for Institutionally Provided Need-Based Grants for Undergraduates						
Endowed Sources	35%	33%	36%	32%	31%	32%
Tuition/Other Sources	65%	67%	64%	68%	69%	68%

TABLE A-5

Undergraduate Student Financial Assistance Provided Directly by Independent Comprehensive Colleges and Universities 1970-71 to 1987-88 Current Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$50,871	$71,695	$122,058	$192,530	$245,960	$33,546
Non-Need-Based/Merit	19,979	29,654	50,793	82,402	118,491	164,552
Other	4,006	8,508	17,370	30,389	38,044	41,717
Total	$74,856	$109,857	$190,221	$305,321	$402,495	$539,815
Work-Study						
Need-Based	$6,319	$10,387	$18,128	$22,574	$28,936	$32,363
Non-Need-Based/Merit	8,043	9,578	14,004	18,375	25,579	30,648
Other	–	191	1,639	2,311	3,619	4,659
Total	$14,363	$20,156	$33,771	$43,260	$58,134	$67,670
Loans						
Need-Based	$9,063	$7,894	$13,805	$27,317	$26,962	$32,359
Non-Need-Based/Merit	6	677	630	1,067	1,283	4,977
Other	198	274	195	108	187	628
Total	$9,267	$8,845	$14,630	$28,492	$28,432	$37,964
Other	$0	$0	$4,853	$11,414	$10,819	$11,138
Total	**$98,485**	**$138,858**	**$243,475**	**$388,487**	**$499,880**	**$656,587**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+139.9%	+173.3%	+555.7%
Non-Need-Based/Merit	+154.2	+224.0	+723.6
Other	+333.6	+140.2	+941.4
Total	+154.1	+183.8	+621.1
Work-Study			
Need-Based	+186.9%	+78.5%	+412.2%
Non-Need-Based/Merit	+86.5	+118.9	+281.1
Other	+139.3	+184.3	+580.1
Total	+135.1	+100.4	+371.2
Loans			
Need-Based	+52.3%	+134.4%	+257.0%
Non-Need-Based/Merit	+10,400.0	+690.3	+82,883.3
Other	-1.5	+222.1	+217.2
Total	57.9	159.5	309.7
Other	–	+129.5%	–
Total	**+147.2%**	**+169.7%**	**+566.7%**

TABLE A-6

Undergraduate Student Financial Assistance Provided Directly by Independent Comprehensive Colleges and Universities 1970-71 to 1987-88 Constant 1987-88 Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$148,335	$149,685	$163,277	$219,100	$261,800	$333,546
Non-Need-Based/Merit	58,257	61,913	67,946	93,774	126,122	164,552
Other	11,683	17,764	23,237	34,583	40,495	41,717
Total	$218,275	$229,362	$254,460	$347,457	$428,417	$539,815
Work-Study						
Need-Based	$18,426	$21,687	$24,250	$25,690	$30,800	$32,363
Non-Need-Based/Merit	23,453	19,999	18,734	20,911	27,227	30,648
Other	2	400	2,193	2,630	3,853	4,659
Total	$41,881	$42,086	$45,177	$49,231	$61,880	$67,670
Loans						
Need-Based	$26,428	$16,483	$18,468	$31,087	$28,699	$32,359
Non-Need-Based/Merit	19	1,415	844	1,215	1,366	4,977
Other	580	574	261	123	200	628
Total	$27,027	$18,472	$19,573	$32,425	$30,265	$37,964
Other	$0	$0	$6,492	$12,990	$11,516	$11,138
Total	**$287,183**	**$289,920**	**$325,702**	**$442,103**	**$532,078**	**$656,587**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+10.1%	+104.3%	+124.9%
Non-Need-Based/Merit	+16.6	+142.2	+182.5
Other	+98.9	+79.5	+257.1
Total	+16.4	+112.1	+147.3
Work-Study			
Need-Based	+31.6%	+33.5%	+75.6%
Non-Need-Based/Merit	-20.1	+63.6	+30.7
Other	–	-112.4	–
Total	+7.9	+49.8	+61.6
Loans			
Need-Based	-30.1%	+75.2%	+22.4%
Non-Need-Based/Merit	+5,156.3	+489.7	–
Other	-55.0	+140.6	+8.3
Total	-27.6	+94.0	+40.5
Other	–	+71.6%	–
Total	**+13.4%**	**+101.6%**	**+128.6%**

TABLE A-7

Average Levels of Undergraduate Student Financial Assistance Provided Directly by Independent Comprehensive Colleges and Universities

	Current Dollars *(Thousands)*	Constant 1987-88 Dollars *(Thousands)*
1970-71	$373	$1,088
1975-76	526	1,098
1980-81	922	1,234
1983-84	1,472	1,675
1985-86	1,893	2,015
1987-88	2,487	2,487
Percentage Increase		
1970-71 to 1980-81	147%	13%
1980-81 to 1987-88	170%	102%
1970-71 to 1987-88	567%	129%

TABLE A-8

Characteristics of Institutionally Provided Student Financial Assistance at Independent Comprehensive Colleges and Universities

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Percentage of Undergraduates (Headcount) Receiving Institutionally Provided Student Financial Assistance	35%	40%	48%	52%	54%	55%
Institutionally Provided Student Financial Aid as a Proportion of Undergraduate Education and General Expenditures	7%	7%	8%	10%	12%	13%
Sources of Revenue for Institutionally Provided Need-Based Grants for Undergraduates						
Endowed Sources	30%	30%	29%	26%	23%	22%
Tuition/Other Sources	70%	70%	71%	74%	77%	78%

TABLE A-9

Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges I
1970-71 to 1987-88
Current Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$70,300	$96,087	$149,229	$242,991	$281,625	$356,240
Non-Need-Based/Merit	1,106	2,244	8,750	18,594	30,122	49,610
Other	1,547	5,246	5,941	8,144	10,823	14,582
Total	$72,953	$103,577	$163,920	$269,729	$322,570	$420,432
Work-Study						
Need-Based	$7,257	$10,970	$14,569	$18,256	$22,156	$21,507
Non-Need-Based/Merit	2,133	2,752	6,210	8,522	9,388	9,691
Other	577	477	1,791	1,472	1,455	1,859
Total	$9,967	$14,199	$22,570	$28,250	$32,999	$33,057
Loans						
Need-Based	$5,675	$6,990	$9,111	$16,041	$17,241	$19,438
Non-Need-Based/Merit	6	76	50	1,115	1,295	1,696
Other	33	88	962	2,106	2,596	3,472
Total	$5,714	$7,154	$10,123	$19,262	$21,132	$24,606
Other	$0	$0	$0	$565	$287	$1,604
Total	**$88,634**	**$124,930**	**$196,613**	**$317,806**	**$376,988**	**$479,699**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+112.3%	+138.7%	+406.7%
Non-Need-Based/Merit	+691.1	+467.0	+4,385.5
Other	+284.0	+145.4	+842.6
Total	+124.7	+156.5	+476.3
Work-Study			
Need-Based	+100.8%	+47.6%	+196.4%
Non-Need-Based/Merit	+191.1	+56.1	+354.3
Other	+210.4	+3.8	+222.2
Total	+126.4	+46.5	+231.7
Loans			
Need-Based	+60.5%	+113.3%	+242.5%
Non-Need-Based/Merit	+733.3	+3,292.0	+28,166.7
Other	+2,815.2	+260.9	+10,421.2
Total	+77.2	+143.1	+330.6
Other	0.0%	–	–
Total	**+121.8%**	**+144.0%**	**+441.2%**

TABLE A-10

Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges I
1970-71 to 1987-88
Constant 1987-88 Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$204,989	$200,611	$199,624	$276,524	$299,762	$356,240
Non-Need-Based/Merit	3,225	4,686	11,706	21,161	32,062	49,610
Other	4,512	10,954	7,948	9,268	11,521	14,582
Total	$212,726	$216,251	$219,278	$306,953	$343,345	$420,432
Work-Study						
Need-Based	$21,163	$22,904	$19,490	$20,776	$23,583	$21,507
Non-Need-Based/Merit	6,220	5,747	8,308	9,699	9,993	9,691
Other	1,683	996	2,396	1,676	1,549	1,859
Total	$29,066	$29,647	$30,194	$32,151	$35,125	$33,057
Loans						
Need-Based	$16,548	$14,595	$12,189	$18,255	$18,352	$19,438
Non-Need-Based/Merit	20	159	68	1,269	1,379	1,696
Other	99	184	1,288	2,397	2,764	3,472
Total	$16,667	$14,938	$13,545	$21,921	$22,495	$24,606
Other	$0	$0	$0	$643	$306	$1,604
Total	**$258,459**	**$260,836**	**$263,017**	**$361,668**	**$401,271**	**$479,699**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	-2.6%	+78.5%	+73.8%
Non-Need-Based/Merit	+263.0	+323.8	+1,438.3
Other	+76.2	+83.5	+223.2
Total	+3.1	+91.7	+97.6
Work-Study			
Need-Based	-7.9%	+10.3%	+1.6%
Non-Need-Based/Merit	+33.6	+16.6	+55.8
Other	+42.4	-22.4	+10.5
Total	+3.9	+9.5	+13.7
Loans			
Need-Based	-26.3%	+59.5%	+17.5%
Non-Need-Based/Merit	+240.0	+2,394.1	+8,380.0
Other	+1,201.0	+170.0	+3,407.1
Total	-18.7	+81.7	+47.6
Other	0.0%	–	–
Total	**+1.8%**	**+82.4%**	**+85.6%**

TABLE A-11

Average Levels of Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges I

	Current Dollars *(Thousands)*	Constant 1987-88 Dollars *(Thousands)*
1970-71	$633	$1,846
1975-76	892	1,863
1980-81	1,404	1,878
1983-84	2,270	2,583
1985-86	2,693	2,866
1987-88	3,426	3,426
Percentage Increase		
1970-71 to 1980-81	122%	2%
1980-81 to 1987-88	144%	82%
1970-71 to 1987-88	441%	86%

TABLE A-12

Characteristics of Institutionally Provided Student Financial Assistance at Independent Liberal Arts Colleges I

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Percentage of Undergraduates (Headcount) Receiving Institutionally Provided Student Financial Assistance	44%	44%	52%	58%	59%	61%
Institutionally Provided Student Financial Aid as a Proportion of Undergraduate Education and General Expenditures	11%	10%	11%	14%	15%	16%
Sources of Revenue for Institutionally Provided Need-Based Grants for Undergraduates						
Endowed Sources	43%	41%	40%	40%	38%	35%
Tuition/Other Sources	57%	59%	60%	60%	62%	65%

TABLE A-13

Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges II 1970-71 to 1987-88 Current Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	$28,561	$36,020	$64,405	$105,702	$142,258	$169,240
Non-Need-Based/Merit	20,075	27,818	45,938	82,947	95,627	137,852
Other	3,850	6,600	11,088	15,149	14,921	20,726
Total	$52,486	$70,438	$121,431	$203,798	$252,806	$327,818
Work-Study						
Need-Based	$2,253	$4,041	$10,302	$15,917	$16,159	$18,765
Non-Need-Based/Merit	14,775	23,573	22,742	23,316	23,088	24,030
Other	9	1,520	1,753	2,060	1,985	1,964
Total	$17,037	$29,134	$34,797	$41,293	$41,232	$44,759
Loans						
Need-Based	$1,684	$2,458	$5,270	$8,768	$$11,110	$19,814
Non-Need-Based/Merit	49	437	4,626	5,654	10,266	5,175
Other	55	33	32	20	49	334
Total	$1,788	$2,928	$9,928	$14,442	$21,425	$25,323
Other	$43	$946	$646	$687	$1,475	$1,600
Total	**$71,354**	**$166,792**	**$166,792**	**$260,220**	**$316,938**	**$399,500**

	Percentage Change		
	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+125.5%	+162.8%	+492.6%
Non-Need-Based/Merit	+128.8	+200.1	+586.7
Other	+188.0	+86.9	+438.3
Total	+131.4	+169.9	+557.6
Work-Study			
Need-Based	+357.3%	+82.1%	+732.9%
Non-Need-Based/Merit	+53.9	+5.7	+62.6
Other	+19,377.8	+12.0	+21,722.2
Total	+104.2	+28.6	+162.7
Loans			
Need-Based	+212.9%	+275.8%	+1,076.6%
Non-Need-Based/Merit	+9,340.8	+11.9	+10,461.2
Other	-41.8	+943.8	+507.3
Total	+455.3	+155.1	+1,316.3
			+3,620.9
Other	+1,379.1%	+151.6%	–
Total	**+133.8%**	**+139.5%**	**+459.9%**

TABLE A-14

Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges II
1970-71 to 1987-88
Constant 1987-88 Dollars *(Thousands)*

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Grants/Scholarships						
Need-Based	*$83,283*	*$75,204*	*$86,155*	*$120,290*	*$151,420*	*$169,240*
Non-Need-Based/Merit	58,539	58,079	61,452	94,394	101,786	137,852
Other	11,229	13,781	14,833	17,240	15,882	20,726
Total	$153,051	$147,064	$162,440	$231,923	$269,088	$327,818
Work-Study						
Need-Based	$6,571	$8,437	$13,781	$18,114	$17,200	$18,765
Non-Need-Based/Merit	43,083	49,216	30,422	26,534	24,575	24,030
Other	28	3,175	2,345	2,345	2,113	1,964
Total	$49,682	$60,828	$46,548	$46,993	$43,888	$44,759
Loans						
Need-Based	$4,912	$5,132	$7,051	$9,978	$11,826	$19,814
Non-Need-Based/Merit	144	913	6,189	6,435	10,928	5,175
Other	163	70	44	23	53	334
Total	$5,219	$6,115	$13,284	$16,436	$22,807	$25,323
Other	$127	$1,976	$852	$782	$1,570	$1,600
Total	**$208,079**	**$215,983**	**$223,124**	**$296,134**	**$337,353**	**$399,500**

Percentage Change

	1970-71 to 1980-81	1980-81 to 1987-88	1970-71 to 1987-88
Grants/Scholarships			
Need-Based	+3.4%	+96.4%	+103.2%
Non-Need-Based/Merit	+5.0	+124.3	+135.5
Other	+32.1	+39.7	+84.6
Total	+6.1	+101.8	+114.2
Work-Study			
Need-Based	+109.7%	+36.2%	+185.6%
Non-Need-Based/Merit	-29.4	-21.0	-44.2
Other	+8,275.0	-16.2	+6,914.3
Total	-6.3	-3.8	-9.9
Loans			
Need-Based	+43.5%	+181.0%	+303.4%
Non-Need-Based/Merit	+4,197.9	-16.4	+3,493.8
Other	-73.0	+659.1	+104.9
Total	+154.5	+90.6	+385.2
Other	+570.9%	+87.8%	+1,159.8%
Total	**+7.2%**	**+79.0%**	**+92.0%**

TABLE A-15

Average Levels of Undergraduate Student Financial Assistance Provided Directly by Independent Liberal Arts Colleges II

	Current Dollars *(Thousands)*	Constant 1987-88 Dollars *(Thousands)*
1970-71	$178	$520
1975-76	259	540
1980-81	418	557
1983-84	650	740
1985-86	792	843
1987-88	999	999
Percentage Increase		
1970-71 to 1980-81	134%	7%
1980-81 to 1987-88	140%	79%
1970-71 to 1987-88	461%	92%

TABLE A-16

Characteristics of Institutionally Provided Student Financial Assistance at Independent Liberal Arts Colleges II

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Percentage of Undergraduates (Headcount) Receiving Institutionally Provided Student Financial Assistance	52%	56%	57%	59%	61%	63%
Institutionally Provided Student Financial Aid as a Proportion of Undergraduate Education and General Expenditures	8%	9%	10%	12%	13%	14%
Sources of Revenue for Institutionally Provided Need-Based Grants for Undergraduates						
Endowed Sources	31%	41%	38%	35%	35%	34%
Tuition/Other Sources	69%	59%	62%	65%	65%	66%

APPENDIX B: *Methodology*

In July 1988, NIICU sent its "Survey of Undergraduate Student Financial Assistance from Institutional Sources" to 1,234 independent colleges and universities. (See Appendix E for a copy of the questionnaire.) After eliminating specialized institutions (e.g. schools of art, music, and design, schools of business and management, engineering and technical colleges, medical and other health-related colleges, and theological colleges), 1,069 colleges and universities remained eligible for analysis. The response rates by Carnegie classification are indicated in the tables that follow.

After reviewing the return rates, it was determined that the low response from two-year colleges prevented meaningful analysis. They were removed from further consideration, leaving a final sample of 405 institutions. The adjusted return rates for four-year colleges and universities are presented in the following tables.

Although a higher response rate would have been preferable, the distribution of institutions across Carnegie types for the NIICU sample is very close to the national distribution.

TABLE B-1

Response Rate for All Institutions

Carnegie Classification	N	Responding Institutions as a Percentage of All Independent Institutions
Research and Doctoral	42	53.2%
Comprehensive	117	44.2%
Liberal Arts I	77	56.2%
Liberal Arts II	169	41.9%
Two-Year	30	16.1%
Total	435	40.7%

Notes: Carnegie categories are defined in Appendix C. For purposes of this survey, NIICU combined Carnegie categories Research Universities I and II and Doctorate-Granting Universities I and II into a single group ("Research and Doctoral") and combined Comprehensive Colleges and Universities I and II into a single group ("Comprehensive").
N = Number of institutions responding.

TABLE B-2

Distribution of Responding Institutions Compared with All Independent Institutions

	Percentage Distribution	
Carnegie Classification	**Responding Institutions**	**All Institutions**
Research and Doctoral	9.7%	7.4%
Comprehensive	26.9	24.7
Liberal Arts I	17.7	13.1
Liberal Arts II	38.9	37.4
Two-Year	6.8	17.4
Total	100.0%	100.0%

Comparability of Respondents and Nonrespondents

While the distribution of institutions that responded to the survey is comparable to the national distribution for all four-year institutions, it was decided that the comparability of respondents should be tested directly for each Carnegie type. Five fiscal variables were selected and comparability was tested using a two-tailed t-test. The null hypothesis is that the respondent and nonrespondent means are not different, and in this case, support for the null hypothesis is the preferred outcome. The following table indicates the t-test results.

The comparability of the respondents and nonrespondents varies by Carnegie type. With the exception of Liberal Arts II colleges, it is reasonable to assume that respondents and nonrespondents are comparable in each Carnegie type.

Variability of Respondents in Each Year

The survey requested data for seven academic years between 1970-71 and 1987-88, and estimates for 1988-89. The institutions' ability to provide data for the earlier years was limited; therefore, the number of respondents varied noticeably from year to year. The following tables indicate the number of respondents by Carnegie type for each variable in each year.

TABLE B-3

Response Rate for Four-Year Institutions

Carnegie Classification	N	Responding Institutions as a Percentage of Four-Year Independent Institutions
Research and Doctoral	42	53.2%
Comprehensive	117	44.2%
Liberal Arts I	77	56.2%
Liberal Arts II	169	41.9%
Total	405	45.8%

TABLE B-4

Distribution of Responding Institutions Compared with All Four-Year Institutions

Carnegie Classification	Percentage Distribution	
	Responding Institutions	All Institutions
Research and Doctoral	10.4%	8.9%
Comprehensive	28.9	29.9
Liberal Arts I	19.0	15.9
Liberal Arts II	41.7	45.3
Total	100.0%	100.0%

TABLE B-5

T-Test Comparison of Respondents and Nonrespondents

Carnegie Classification	Institutional Characteristics: Average Tuition and Fees	Endowment Value	Total Revenue	Total Expenditures	Endowment Yield
Research and Doctoral	X	–	–	–	–
Comprehensive	–	X	–	–	X
Liberal Arts I	–	–	–	–	–
Liberal Arts II	–	X	X	X	X

Note: X indicates a t-test significant at the .05 level.

TABLE B-6

Number of Institutions Responding for Each Variable by Year and Carnegie Classification

Variable	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Undergraduate Enrollment						
Research and Doctoral	25	23	39	42	42	42
Comprehensive	72	71	106	111	113	115
Liberal Arts I	52	53	72	75	77	77
Liberal Arts II	109	103	146	159	164	165
Grants/Scholarships						
			Need-Based			
Research and Doctoral	13	14	32	37	38	39
Comprehensive	38	46	78	92	97	100
Liberal Arts I	33	36	60	66	72	74
Liberal Arts II	42	48	107	130	145	156
			Non-Need-Based			
Research and Doctoral	10	13	27	32	34	36
Comprehensive	35	44	77	92	97	101
Liberal Arts I	28	31	55	64	71	73
Liberal Arts II	38	46	110	130	143	154
			Other			
Research and Doctoral	13	14	28	33	34	34
Comprehensive	39	46	76	88	93	94
Liberal Arts I	33	35	55	59	64	64
Liberal Arts II	39	44	99	120	129	135
			Total			
Research and Doctoral	15	17	34	40	41	42
Comprehensive	44	55	91	107	113	114
Liberal Arts I	40	42	68	72	76	75
Liberal Arts II	51	61	123	144	157	166

TABLE B-6

Number of Institutions Responding for Each Variable by Year and Carnegie Classification (continued)

Variable	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Work-Study						
			Need-Based			
Research and Doctoral	13	14	31	37	40	39
Comprehensive	40	48	78	90	93	94
Liberal Arts I	26	28	56	62	65	65
Liberal Arts II	37	44	99	127	132	145
			Non-Need-Based			
Research and Doctoral	10	11	22	27	28	31
Comprehensive	29	39	72	87	91	93
Liberal Arts I	18	26	46	54	57	59
Liberal Arts II	36	44	95	116	123	136
			Other			
Research and Doctoral	13	11	25	29	30	30
Comprehensive	38	45	73	82	82	85
Liberal Arts I	28	30	48	51	54	54
Liberal Arts II	41	42	88	108	114	121
			Total			
Research and Doctoral	12	13	27	34	37	39
Comprehensive	40	53	89	103	109	110
Liberal Arts I	34	36	65	68	71	71
Liberal Arts II	47	55	113	139	144	159
Loans						
			Need-Based			
Research and Doctoral	17	15	33	34	37	37
Comprehensive	50	55	77	86	89	91
Liberal Arts I	40	40	61	66	70	68
Liberal Arts II	55	57	107	127	134	143
			Non-Need-Based			
Research and Doctoral	18	16	31	32	34	34
Comprehensive	47	51	75	82	85	88
Liberal Arts I	36	38	55	60	63	64
Liberal Arts II	54	53	97	117	122	131
			Other			
Research and Doctoral	18	15	31	32	34	34
Comprehensive	50	53	77	83	85	88
Liberal Arts I	39	39	57	61	63	63
Liberal Arts II	55	51	91	109	115	122
			Total			
Research and Doctoral	18	16	34	35	38	38
Comprehensive	55	62	87	97	100	102
Liberal Arts I	40	43	63	68	71	69
Liberal Arts II	60	62	112	133	138	149

TABLE B-6

Number of Institutions Responding for Each Variable by Year and Carnegie Classification (continued)

Variable	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Other Aid						
Research and Doctoral	15	14	27	29	30	30
Comprehensive	56	57	78	83	84	85
Liberal Arts I	45	42	56	59	61	61
Liberal Arts II	55	53	90	104	108	114
Total Institutionally Provided Aid						
Research and Doctoral	13	15	31	37	40	40
Comprehensive	42	53	92	104	109	110
Liberal Arts I	36	39	65	71	75	73
Liberal Arts II	48	58	122	149	159	162
Percentage of Institutional Need-Based Grants from Restricted, Endowed, Annual, or Funded Sources						
Research and Doctoral	11	13	30	37	38	39
Comprehensive	37	46	77	87	93	97
Liberal Arts I	33	38	58	66	68	68
Liberal Arts II	38	44	92	111	128	135
Percentage of Institutional Need-Based Grants from Tuition Revenue or Other Sources						
Research and Doctoral	12	14	29	37	39	40
Comprehensive	34	45	76	87	93	96
Liberal Arts I	32	38	59	66	68	68
Liberal Arts II	41	47	93	114	130	132
Institutionally Provided Aid as a Percentage of Undergraduate Education and General Expenditures						
Research and Doctorate	6	8	19	24	25	23
Comprehensive	32	39	72	88	92	92
Liberal Arts I	36	40	61	68	72	69
Liberal Arts II	34	40	93	118	127	122

TABLE B-6

Number of Institutions Responding for Each Variable by Year and Carnegie Classification (continued)

Variable	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Percentage of Total Undergraduate Enrollment (Headcount) Receiving Need-Based Aid						
Research and Doctoral	6	10	22	28	33	33
Comprehensive	19	29	57	75	83	89
Liberal Arts I	26	31	52	61	66	70
Liberal Arts II	27	32	77	100	121	132
Percentage of Total Undergraduate Enrollment (Headcount) Receiving Non-Need-Based Aid						
Research and Doctoral	6	9	18	24	30	31
Comprehensive	20	26	57	70	78	84
Liberal Arts I	24	26	48	58	61	65
Liberal Arts II	22	26	72	89	107	120
Percentage of Total Undergraduate Enrollment (Headcount) Receiving Any Type of Institutionally Provided Aid						
Research and Doctorate	10	14	25	30	35	36
Comprehensive	20	30	65	81	88	93
Liberal Arts I	23	30	51	61	66	68
Liberal Arts II	27	34	84	112	130	140

Constant Dollar Conversion

Institutional aid figures are reported in both current and constant dollars. The adjustment for inflation is based on the Consumer Price Index (CPI) for all urban dwellers in the appropriate academic year. The base year used for conversions is 1987-88. The formula for conversion to constant dollars is:

$$\text{Constant Dollars} = \text{Current Year Dollars} \times \frac{\text{Base Year CPI}}{\text{Current Year CPI}}$$

TABLE B-7

Consumer Price Indexes

Academic Year	CPI
1970-71	119.0
1975-76	166.2
1980-81	259.4
1983-84	304.9
1985-86	326.0
1987-88	346.9

APPENDIX C: *Carnegie Classsifications*

Colleges and universities responding to the survey were categorized according to *A Classification of Institutions of Higher Education: 1987 Edition*, a Carnegie Foundation Technical Report. The categories are as follows:

Research Universities I

These institutions offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give priority to research. They receive at least $33.5 million in federal support annually and award at least fifty Ph.D. degrees each year.

Research Universities II

These institutions offer a full range of baccalaureate programs, are committed to graduate education through the doctorate degree, and give priority to research. They receive between $12.5 million and $33.5 million in federal support annually and award at least fifty Ph.D. degrees each year.

Doctoral I

In addition to offering a full range of baccalaureate programs, the mission of these institutions includes a commitment to graduate education through the doctorate degree. They award at least forty Ph.D. degrees annually in five or more academic disciplines.

Doctoral II

In addition to offering a full range of baccalaureate programs, the mission of these institutions includes a commitment to graduate education through the doctorate degree. They award at least twenty Ph.D. degrees annually in at least one discipline, or ten Ph.D. degrees annually in three or more disciplines.

Comprehensive Universities and Colleges I

These institutions offer baccalaureate programs and, with few exceptions, graduate education through the master's degree. More than half of their baccalaureate degrees are awarded in two or more occupational or professional disciplines such as engineering or business administration. All of the institutions in this group enroll at least 2,500 students.

Comprehensive Universities and Colleges II

These institutions award more than half of their baccalaureate degrees in two or more occupational or professional disciplines, such as engineering or business administration, and many also offer graduate education through the master's degree. All of the colleges and and universities in this group enroll between 1,500 and 2,500 students.

Liberal Arts Colleges I

These highly selective institutions are primarily undergraduate colleges that award more than half of their baccalaureate degrees in the arts and sciences.

Liberal Arts II

These institutions are primarily undergraduate colleges that are less selective and award more than half of their degrees in liberal arts fields. This category also includes a group of colleges that award less than half of their degrees in liberal arts fields but, with fewer than 1,500 students, are too small to be considered comprehensive.

Two-Year Community, Junior, and Technical Colleges

These institutions offer certificate or degree programs through the associate of arts level and (with few exceptions) offer no baccalaureate degrees.

Professional Schools and Other Specialized Institutions

These institutions offer degrees ranging from the bachelor's to the doctorate. At least 50 percent of the degrees awarded by these institutions are in a single specialized field.

APPENDIX D: *Institutional Respondents*

The 481 independent colleges and universities responding to the survey are listed according to Carnegie classification.

Research I
Columbia University
Cornell University
Duke University
Howard University
The Johns Hopkins University
Northwestern University
Princeton University
Stanford University
University of Pennsylvania
University of Rochester
Vanderbilt University
Washington University in St. Louis

Research II
Brandeis University
Brown University
Emory University
Georgetown University
Rensselaer Polytechnic Institute
Syracuse University
Tulane University

Doctoral I
American University
Fordham University
Illinois Institute of Technology
Lehigh University
Marquette University
Nova University
Rice University
Tufts University
University of Notre Dame

Doctoral II
Adelphi University
Baylor University
Clark University
Clarkson University
Dartmouth College
Drake University
Duquesne University
Florida Institute of Technology
Mississippi College
New School for Social Research
Pepperdine University
Stevens Institute of Technology
Texas Christian University
University of Tulsa

Comprehensive I
Assumption College
Barry University
Bellarmine College
Bellevue College
Bradley University
Calvin College
Campbell University
College of New Rochelle
College of Saint Francis
Columbia College
Elmhurst College
Elon College
Fairfield University
Fairleigh Dickinson University
Gannon University
Hampton University
Iona College
Ithaca College
La Salle University
Lewis University
Loyola College in Maryland
Loyola Marymount University
Loyola University
Manhattan College
Marist College
Marywood College
Monmouth College
New York Institute of Technology
Niagara University
Point Park College
Providence College
Regis College
Rider College
Rockhurst College
Rollins College
Saint Joseph's University
Saint Leo College
Saint Peter's College
Seattle Pacific University
Seattle University
Stonehill College
Trinity University
University of Evansville
University of Hartford
University of Indianapolis
University of New Haven
University of Portland
University of Puget Sound
University of Redlands
University of San Diego
University of the Pacific
University of the Sacred Heart
Valparaiso University
Villanova University
Wake Forest University
Webster University
Western New England College
Widener University
Wilkes College
Worcester Polytechnic Institute

Comprehensive II
Alfred University
Anna Maria College
Avila College
Berea College
Bloomfield College
Brenau College
Cardinal Stritch College
Carson-Newman College
Cedarville College
Chaminade University of Honolulu
Christian Brothers College
College of Mount Saint Joseph
Cumberland College
Delaware Valley College
Dominican College of Blauvelt
Dowling College
Elizabethtown College
Evangel College
Ferrum College
Florida Southern College
Georgian Court College
Grove City College
Gwynedd-Mercy College
Hardin-Simmons University
Illinois Benedictine College
Illinois Wesleyan University
John F. Kennedy University
King's College
La Roche College
Le Moyne College
Linfield College
Loras College
Lynchburg College
Marycrest College
Maryville College (Missouri)
Mercy College of Detroit
Millikin University
Molloy College
Moravian College
Mount Saint Mary's College (Maryland)
Nazareth College of Rochester
Ottawa University
Ouachita Baptist University
Our Lady of the Lake University
Roger Williams College
St. Edward's University
Saint Mary's College (Indiana)
Saint Michael's College
Saint Norbert College
St. Thomas Aquinas College

Shaw University
Springfield College
Susquehanna University
University of Iowa
Upsala College
Utica College
West Virginia Wesleyan College

Liberal Arts I

Albion College
Alma College
Amherst College
Augustana College
Austin College
Bard College
Bates College
Beloit College
Benedictine College
Bennington College
Borromeo College
Bowdoin College
Carleton College
Centenary College of Louisiana
Centre College
Chestnut Hill College
Coe College
Colby College
College of the Holy Cross
The College of Wooster
Colorado College
Connecticut College
Davidson College
DePauw University
Denison University
Dickinson College
Eckerd College
Emmanuel College
Franklin and Marshall College
Furman University
Gordon College
Goshen College
Gustavus Adolphus College
Hamline University
Hampden-Sydney College
Hampshire College
Haverford College
Hollins College
Kalamazoo College
Kenyon College
Knox College
Lafayette College
Lake Forest College
Lebanon Valley College
Manhattanville College
Millsaps College
Muhlenberg College
Nebraska Wesleyan University
Neumann College
Oberlin College
Occidental College
Oglethorpe University
Principia College
Radcliffe College
Randolph-Macon College
Randolph-Macon Woman's College
Reed College
Rhodes College
Skidmore College
Smith College
St. John's College (Maryland)
St. Lawrence University
Saint Olaf College
Sweet Briar College
Trinity College
Ursinus College
Wabash College
Wartburg College
Washington and Jefferson College
Washington College
Wells College
Wesleyan University
Western Maryland College
Wheaton College
Whitman College
Willamette University
Williams College

Liberal Arts II

Alaska Pacific University
Albertus Magnus College
Alderson-Broaddus College
Alice Lloyd College
Alvernia College
Alverno College
American Technological University
Asbury College
Atlantic Christian College
Averette College
Baker University
Belmont Abbey College
Bethany College
Bluefield College
Briar Cliff College
Bridgewater College
Cabrini College
Caldwell College
California Baptist College
Campbellsville College
Catawba College
Central Methodist College
Central Wesleyan College
Christ College Irvine
Claflin College
Clarke College
The College of Idaho
College of our Lady of the Elms
College of St. Francis de Sales
College Misericordia
College of Notre Dame
College of Saint Elizabeth
College of Saint Mary
College of the Southwest
Colorado Christian College
Columbia Christian College
Columbia College
Columbia Union College
Concordia College (Illinois)
Concordia College (Michigan)
Concordia College (New York)
Concordia College (Oregon)
Converse College
Covenant College
Culver-Stockton College
Cumberland University
Davis and Elkins College
The Defiance College
Dominican College
Dordt College
Eastern College
Eastern Mennonite College
Edgewood College
Erskine College
Felician College
Findlay College
Flagler College
Franklin College
Fresno Pacific College
Gallaudet University
Geneva College
George Fox College
Georgetown College
Grace College
Grand View College
Hastings College
Hiram College
Holy Family College
Holy Names College
Huntington College
Illinois College
Incarnate Word College
Iowa Wesleyan College
Jordan College
Judson College
Kansas Wesleyan
Kendall College
Kentucky Wesleyan College
Keuka College
La Grange College
Lake Erie College
Lambuth College
LeTourneau University
Lincoln Memorial University
Lourdes College
Luther College
Lycoming College
Maharishi International University
Malone College
Manchester College
Marian College
Marian College of Fond Du Lac
Mars Hill College
Marymount College
McKendree College
Miami Christian College
MidAmerica Nazarene College
Midland Lutheran College
Milligan College
Morningside College
Mount Mary College
Mount Mercy College
Mount St. Mary's College (California)
Mount Union College
Mundelein College
Muskingum College
Nazareth College in Kalamazoo
New England College
Northland College
Northwestern College (Iowa)
Northwestern College (Minnesota)
Notre Dame College of Ohio
Ohio Dominican College
Oklahoma Baptist University
Pacific Union College
Piedmont College
Pine Manor College
Queens College
Roanoke College
Rocky Mountain College
Rosemont College
Rust College
Saint Anselm College
Saint Francis College (Indiana)
St. Francis College (New York)
St. Joseph's College (Indiana)
St. Joseph's College (Louisiana)
Saint Mary of the Plains College
Saint Mary's College (Michigan)
Saint Meinrad College
Saint Vincent College
Shenandoah College
Shorter College
Silver Lake College
Southwestern Adventist College
Spelman College
Spring Arbor College
Stillman College
Tabor College
Talladega College
Taylor University
Tougaloo College
Tri-State University
Trinity Christian College
Tusculum College
Union College
Union University
Unity College
University of Mary Hardin-Baylor
University of New England
University of the Ozarks
Ursuline College
Virginia Wesleyan College
Voorhees College
Walsh College
Warner Pacific College
Waynesburg College
Wesley College
Wesleyan College
Westmar College
Westminster College
Wheeling Jesuit College
Wiley College
William Woods College
Wilmington College (Ohio)
Wilson College
Wofford College
Woodbury University

APPENDIX E:
The Questionnaire

NIICU SURVEY
Undergraduate Student Financial Assistance
from Institutional Sources

Institution: _____

Completed by: _____

Title: _____

Phone number: _____

Instructions:

As you complete this survey, please keep the following in mind:

1. The survey asks for information on **undergraduate aid only.**
2. Report "institutionally provided aid" only. **Do not include** federal or state dollars distributed through SEOG, CWS, SSIG, or Perkins Loans. **Do include** institutional matching funds for these programs.
3. "Institutionally provided aid" includes aid from tuition revenue, restricted funds, unrestricted funds, endowments, and annual sources.
4. We realize that data from some of the years specified may not be available. If that is the case, please provide the most complete data for each year that is available.

Please note:

When completing the survey, use "0" for "No Dollars" and "N/A" for "Missing" or "Unavailable" data.

Please return to:

National Institute of Independent
Colleges and Universities
122 C Street, NW, Suite 750
Washington, DC 20001-2190

PART 1

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88
Undergraduate Enrollment (Headcount)						

Types of Institutionally Provided Aid

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Grants/Scholarships							
Need-Based							
Non-Need-Based/Merit							
Other							
Total							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Work							
Need-Based							
Non-Need-Based/Merit							
Other							
Total							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Loans							
Need-Based							
Non-Need-Based/Merit							
Other							
Total							
Other							

PART 2

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Total Institutionally Provided Aid							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Percentage of Institutional Need-Based Grants from Restricted, Endowed, Annual, or Funded Sources							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Percentage of Institutional Need-Based Grants from Tuition Revenue or Unfunded Sources							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Institutional Aid as a Percentage of Undergraduate Educational and General Expenditures Budget							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Percentage of Total Undergraduate Enrollment (Headcount) Who Received Need-Based Aid							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Percentage of Total Undergraduate Enrollment (Headcount) Who Received Non-Need-Based Aid							

	1970-71	1975-76	1980-81	1983-84	1985-86	1987-88	1988-89
Percentage of Undergraduate Enrollment (Headcount) Receiving Any Type of Institutional Aid							